IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

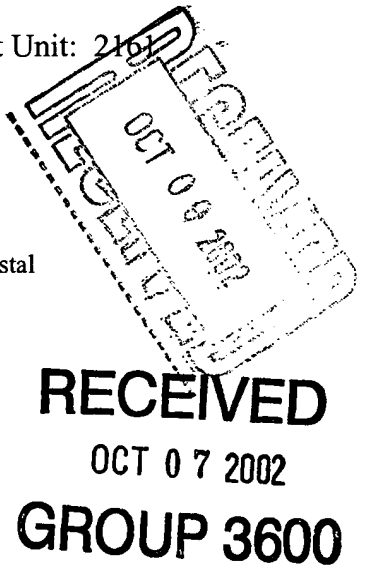| Applicant	:	Yuste et al.	
Serial No.	:	10/002,788	
Filed	:	November 3, 2001	Group Art Unit: 2161
For	:	METHOD AND SYSTEM FOR ANALYZING FINANCIAL MARKET DATA	

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231

September 25, 2002
Date of Deposit

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Attorney Name

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29,705
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INFORMATION DISCLOSURE STATEMENT

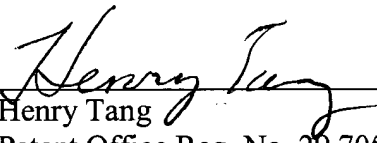Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to the provisions of 37 C.F.R. §§ 1.97 and 1.98, submitted herewith are a

PTO Form 1449 identifying non-patent documents and references, some of which were cited

in an International Search Report recently received in a related PCT application, which may

be considered by the Examiner to be material to the patentability of the invention claimed in

the above-identified application. Copies of the materials identified in the Form 1449 are also

enclosed.

NY02:407494.1

- 1 -

This statement is submitted more than 3 months from the application filing date but before the mailing date of the first Office Action. In accordance with 37 C.F.R. § 1.98, submission of this Information Disclosure Statement requires no fee. However, the Commissioner is hereby authorized to charge the payment of any fees required in association with this communication to Deposit Account No. 02-4377.

Respectfully submitted,

Henry Tang
Patent Office Reg. No. 29,705

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Enclosures

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Form PTO-1449 U.S. Department of Commerce (REV. 2-82) Patent and Trademark Office	Atty. Docket No. AP33682	Serial No. 10/002,788
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)	Applicant Yuste et al.	
	Filing Date November 2, 2001	Group 2161

U.S. PATENT DOCUMENTS

*Exam. Init.		Document No.							Date	Name	Class	Subclass	Filing Date ifAppropriate
		5	2	1	5	0	9	9	6/1/93	Haberl et al.	128	702	

FOREIGN PATENT DOCUMENT

		Document No.							Date	Country	Class	SubClass	Translator Yes No	
		9	9	4	4	0	6	2	9/2/99	WIPO	G01N	33/50		

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OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.)

			"A Tutorial on Hidden Markov Models and Selected Applications in Speech Recognition" by Lawrence R. Rabiner, Proceedings of the IEEE; Vol. 77, No. 2, February 1989, pp. 257-285.
			"The Segmental K-Means Algorithm for Estimating Parameters of Hidden Markov Models" by Juang et al., IEEE Transactions on Acoustics, Speech and Signal Processing, Vol. 38, No. 9, September 1990, pp. 1639-1641.

NY02:407501.1

Examiner	Date Considered

* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

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Form PTO-1449 U.S. Department of Commerce (REV. 2-82) Patent and Trademark Office	Atty. Docket No. AP33682	Serial No. 10/002,788
INFORMATION DISCLOSURE STATEMENT **BY APPLICANT** **(Use several sheets if necessary)**	Applicant Yuste et al.	
	Filing Date November 2, 2001	Group 2161

			"Hidden Markov Modelling of Simultaneously Recorded Cells in the Associative Cortex of Behaving Monkeys" by Gat et al., <u>Comput. Neural Sys</u>, Vol. 8, 1997, pp. 297-322.
			"Networks of Coactive Neurons in Developing Layer 1" by Schwartz et al., <u>Neuron</u>, Vol. 20, March 1998, pp. 541-552.
			"Solution of Linear Algebraic Equations", Chapter 2.0 Introduction, by <u>Press Numerical Recipes in C</u>, 1992, pp. 29-31
			"Least-Squares Techniques" by Christopher Bishop, <u>Neural Network for Pattern Recognition</u>, 1995, page 93, 171, an 260.
			"Maximum-Likelihood Estimation for Mixture Multivariate Stochastic Observations of Markov Chains" by B. H. Juang, A<u>T&T Technical Journal</u>, Vol. 64, No. 6, July-August 1985, pp. 1235-1249.
			"Statistical Interference for Probabilistic Functions of Finite State of Markov Chains" by Baum et al., <u>Interference for Functions of Markov Chains</u>, 1966, pp. 1554-1563.
			"Mixture Autoregressive Hidden Markov Models for Speech Signals" by Juang et al., <u>IEEE Transactions of Acoustics, Speech, and Processing</u>, Vol. ASSP 33, No. 6, December 1985, pp.1404-1413.
			"Maximum Likelihood Estimation for Multivariate Observations of Markov Sources" by Louis A. Liporace, <u>IEEE Transactions on Information Theory</u>, Vol. IT-28, No. 5, September 1982, pp. 729-734.
			"Cluster Analysis and Data Visualization of Large-Scale Gene Expression Data" by George S. Michaels, Daniel B. Carr, Manor Askenazi, Stefanie Fuhrman, Xiling Wen, Roland Somogyi, XP-000974575, 1997, pp. 41-53.

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